

4 *Multi-Association Group (MAG) Plan for Regulation of Interstate Services of Non-Price Cap Incumbent
Local Exchange Carriers and Interexchange Carriers*, CC Docket No. 00-256, Second Report and Order and
Further Notice of Proposed Rulemaking, 16 FCC Red 19613 (2001) (“*Rate-of-Return Access Charge Reform
Order*”).

of the rate revisions by the Commission and interested parties.⁵

3. Rate-of-return LECs subject to section 61.39 of the Commission's rules⁶ are required to file access service tariff revisions in odd-numbered years and would normally not be required to file access service tariff revisions this year absent the requirements adopted in the *Rate-of-Return Access Charge Reform Order*. Each rate-of-return LEC subject to section 61.39 that files its own common line tariff must file revisions to reflect the changes in the manner that common line rates are to be calculated beginning July 2, 2002. These section 61.39 carriers are not required to submit supporting documentation with their tariff filings.⁷

II. RATE-OF-RETURN TARIFF REVIEW PLANS FOR SECTION 61.38 CARRIERS

A. Modifications to the Rate-of-Return TRP

4. In the 2002 rate-of-return TRP, we have adopted certain changes to the 2001 rate-of-return TRP. These modifications are noted in the forms and workpapers. The TRP for section 61.38 carriers is attached as an appendix to this document.

5. With this tariff filing, we produce the TRP in the Microsoft Excel 97 format, which can be created with Excel 97 or later. The Electronic Tariff Filing System of the FCC handles Excel 97 files. This facilitates our analysis of the data presented.

6. The TRP consists of several forms. In each form carriers are required to enter data in several fields. In the rows or columns where data entry is required in the worksheet, the label "ENTER DATA" is evident. In those fields in which calculations are performed by pre-programmed formulae in the spreadsheet, the words "CALCULATED FIELDS" appear.⁸

7. The section 61.38 ACR-1 (Projected) Form describes the impact of the *Rate-of-Return Access Charge Reform Order* on projected revenue requirements for the tariff year (July 2, 2002 - June 30, 2003). The section 61.38 ACR-1 (Historical) Form describes the impact of the *Rate-of-Return Access Charge Reform Order* on historical (calendar year 2001) revenue requirement figures for section 61.38 carriers. The NECA ACR-1 form provides data on line port and transport (TIC (Transport Interconnection Charge) reallocation) costs to be allocated to common line rate elements by companies for which the National Exchange Carrier Association (NECA) files common line rates. It requests a comparison of data submitted by the carriers and information actually used in the NECA tariff and requires a justification or explanation of any modification or manipulation made by NECA to company figures when deriving blended rates.

⁵ TRP formats for the annual filings are developed for the specific circumstances of the calendar year in which the revised rates will become effective. We refer to the TRPs discussed in this document as the 2002 TRPs. Rates are developed for the forthcoming tariff year which runs from July 2, 2002 to June 30, 2003.

⁶ 47 C.F.R. § 61.39.

⁷ 47 C.F.R. § 61.39(a).

⁸ Fields that require data entry are colored black; calculated fields are colored blue.

B. General Guidelines Applicable to NECA

8. We have not adopted a TRP for NECA, although NECA should refer to the rate-of-return TRP for guidance on the level of support materials to provide in its annual filing. As in the past, NECA should provide: (1) earnings data using the ERN-1 format; and (2) average schedule company settlements using the COS-1 format. As indicated above, it should provide the information indicated in the NECA ACR-1 Form.

9. We ask NECA to identify carriers that identified an adjustment to access category revenue requirements, such as Common Line and Local Switching, due to the change in how General Support Facilities investments are to be apportioned as a result of the *Rate-of-Return Access Charge Reform Order*.⁹ We request that NECA indicate the amounts associated with the reallocation of costs and describe any effects this change may have on rates in their cost support documentation.

10. We also ask NECA to provide data, by study area, comparing end user revenues for current and proposed rates evaluated using test period demand for both Residential and Single Line Business categories, individually, and Multi-line Businesses for those companies in the NECA common line pool.

C. General Support Facilities Investment

11. We request all rate-of-return LECs subject to section 61.38 to indicate whether they provide billing and collection services themselves, and, if so, to identify any General Support Facilities investments that were reapportioned as a result of the *Rate-of-Return Access Charge Reform Order* in the description and justification accompanying their tariff filings. Carriers that have made these adjustments should describe the procedures used and indicate the revenue requirement amounts that were reallocated to the appropriate access categories.

D. Miscellaneous

12. Rate-of-return LECs subject to section 61.38 should submit Form 492A for calendar years 2000 and 2001 as part of the TRP support material, and use the footnote page provided on Form 492A to explain the development of composite tax rates.

13. In addition to the above specifications, rate-of-return LECs subject to section 61.38 should include with their support materials a list of all currently applicable Part 69 waivers. The list should include the following information: (1) a citation to the Commission or Bureau order granting the waiver; and (2) a brief description of the waiver, including whether any new rate elements were authorized.

14. If rate-of-return LECs file to revise their TRP after July 2, 2002, they should refile their TRP in its entirety. The latest TRP filed becomes the TRP of record. Other parts of the original filing, e.g., portions of the explanations, description and justification, and workpapers, may be omitted if unchanged by the revision.

⁹ 47 C.F.R. § 69.307.

E. GENERAL INSTRUCTIONS

15. The following general instructions apply to all rate-of-return LECs subject to section 61.38. These instructions pertain to the TRPs and other documentation filed in support of access charges.

1. Certification

16. The filing of inaccurate or incomplete data may seriously detract from the ability of the Commission and interested parties to evaluate the revised rates. The rate-of-return LECs subject to section 61.38 and NECA must certify that their historical and forecast data are accurate by including a signed statement that the support data are true, correct, and complete to the best of the carrier's knowledge. This certification will apply to all data submitted in support of revised rates, including the data that are filed in the TRP. The text of the certification is the same as that adopted in the *1987 Waiver Order*.¹⁰ The certification should be displayed as the last page in the binder containing each company's TRP. LECs are also under a continuing legal obligation to correct any inaccurate or incomplete data subsequently discovered in the TRP or other support data.

2. Waivers

17. If carriers find that they are unable to provide data in the TRP, they may request a waiver. These waiver applications should demonstrate good cause for reporting a different or lower level of detail than specified and should indicate how the carrier intends to report complete TRP data in the future. Each carrier requesting any waiver of Commission rules should include all such requests in a single application. Carriers should not delay undertaking development of data for the 2002 TRP in anticipation that waiver requests will be granted.

3. Technical Instructions

18. Consistent with TRP filings in previous years, all companies that file a TRP should provide the data in a computer disk file.

III. PROCEDURAL MATTERS

A. Compliance with the Paperwork Reduction Act

19. The TRPs are subject to approval by the Office of Management and Budget (OMB) in accordance with the provisions of the Paperwork Reduction Act.¹¹ OMB has approved the TRPs for section 61.38 carriers through May 13, 2003 (OMB Control No. 3060-0400). In compliance with the Paperwork Reduction Act, we estimate burden-hours and place the Office of Management and Budget form number and date on the forms included in the Appendices. We note that these TRPs were developed after informal discussions with rate-of-

¹⁰ *Annual 1987 Access Tariff Filings*, Petitions for Waivers of Filing Requirements, Mimeo No. 6945 (rel. Sept. 16, 1986) (*1987 Waiver Order*).

¹¹ 44 U.S.C. §§ 3506 *et seq.*

return LECs and other industry representatives. We minimize the regulatory burden on the rate-of-return LECs by deleting obsolete sections of the TRP that have not proved useful, and carriers need not file historical data that have been filed in previous years

B. Public Inspection

20. A copy of this document and all attachments will be available for inspection at the Reference Information Center, Federal Communications Commission, Room CY-A257. The Commission will publish the text of this document in the FCC Record. Copies of Appendices can be obtained through the Commission's duplicating contractor, Qualex International, Portals II, 445 12th Street, SW, Room CY-B402. Further details regarding the procedures applicable to the 2002 annual access tariff filings are provided in Appendix A to the *Procedures Order*. For further information, please contact Raj Kannan at 202-418-1565.

FEDERAL COMMUNICATIONS COMMISSION

Tamara L. Preiss
Chief, Pricing Policy Division
Wireline Competition Bureau

Appendix A

Rate-of-Return Tariff Review Plans

Approved by OMB
3060-0400
Expires May 13, 2003

See below for information regarding public burden estimate.

NOTICE: These Tariff Review Plans (TRPs) contain summary support material that certain local exchange carriers (LECs) should file to support their annual access charge tariff filings in partial fulfillment of sections 61.38 and 61.44 through 61.49 of the Commission's Rules. The TRPs specify basic information in a consistent format and are essential components of the Commission's access tariff review process. The information in the TRPs is used by the FCC to evaluate rates. Public reporting burden for this collection of information is estimated to average 61 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Federal Communications Commission, Office of Managing Director, Washington, DC 20554, and to the Office of Management and Budget, Office of Information and Regulatory Affairs, Washington, DC 20503.

Double Click Icon

Section 61.38 ROR TRP



ROR61.38_TRP.xls

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ACR FORMS TRP



ACr_TRP02.xls